



IAP04Rec'd PCT 28 AUG 2008

PTO/SB/21 (09-06)

Approved for use through 03/31/2007. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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| TRANSMITTAL FORM | | Application Number | |
|---|-------------------------------|---|-----------------------|
| (to be used for all correspondence after initial filing) | | 10/593,399 | |
| | | Filing Date | |
| | | September 27, 2007 | |
| | | First Named Inventor | |
| | | Roberto Pozzati | |
| Art Unit | | Not yet assigned | |
| Examiner Name | | Not yet assigned | |
| Total Number of Pages in This Submission | | Attorney Docket Number | |
| | | 18545US00 | |
| ENCLOSURES (check all that apply) | | | |
| <input checked="" type="checkbox"/> Fee Transmittal Form | | <input type="checkbox"/> Drawing(s) | |
| <input type="checkbox"/> Fee Attached | | <input type="checkbox"/> Licensing-related Papers | |
| <input type="checkbox"/> Amendment/Reply | | <input type="checkbox"/> Petition | |
| <input type="checkbox"/> After Final | | <input type="checkbox"/> Petition to Convert to a Provisional Application | |
| <input type="checkbox"/> Affidavits/declaration(s) | | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | |
| <input type="checkbox"/> Extension of Time Request | | <input type="checkbox"/> Terminal Disclaimer | |
| <input type="checkbox"/> Express Abandonment Request | | <input type="checkbox"/> Request for Refund | |
| <input type="checkbox"/> Information Disclosure Statement | | <input type="checkbox"/> CD Number of CD(s) _____ | |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | | <input type="checkbox"/> Landscape Table on CD | |
| <input type="checkbox"/> Reply to Missing Parts/Incomplete Application | | <input type="checkbox"/> After Allowance Communication to TC | |
| <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53 | | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences | |
| | | <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) | |
| | | <input type="checkbox"/> Proprietary Information | |
| | | <input type="checkbox"/> Status Letter | |
| | | <input checked="" type="checkbox"/> Return-Receipt Postcard | |
| | | <input type="checkbox"/> Other Enclosure(s) (please identify below): | |
| Remarks | | Response to Notification of Insufficient Funds | |
| | | Copy of Notification of Insufficient Funds | |
| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | | | |
| Firm or Individual Name | McAndrews Held & Malloy, Ltd. | | |
| Name (Print/type) | Jonathan M. Rushman | Registration No. (Attorney/Agent) | 55870 |
| Signature | | | Date: August 28, 2008 |
| EXPRESS MAIL DEPOSIT | | | |
| "Express Mail" mailing label number : EV 639814869 US | | | |
| Date of Deposit Auguts 28, 2008. | | | |

08-29-08
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UNITED STATES PATENT AND TRADEMARK OFFICEUNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

| | | |
|-----------------------------|-----------------------|------------------|
| U.S. APPLICATION NUMBER NO. | FIRST NAMED APPLICANT | ATTY. DOCKET NO. |
| 10/593,399 | Pozzati Roberto | P4422-3001 |

Karin E Peterka
Buchalter Nemer
1000 Wilshire Blvd
Suite 1500
Los Angeles, CA 90017-5704

| | |
|-------------------------------|---------------|
| INTERNATIONAL APPLICATION NO. | |
| PCT/US04/36827 | |
| I.A. FILING DATE | PRIORITY DATE |
| 11/05/2004 | |

CONFIRMATION NO. 2782
371 FORMALITIES LETTER

RESPONSE DUE:

Missing Requirements 9/1/08

Date Mailed: 07/01/2008

Notification of Insufficient Fees (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated Office (37 CFR 1.494):

- Copy of the International Application filed on 09/19/2006
- Copy of the International Search Report filed on 09/19/2006
- Information Disclosure Statements filed on 09/19/2006
- Oath or Declaration filed on 09/27/2007
- Request for Immediate Examination filed on 09/19/2006
- U.S. Basic National Fees filed on 09/19/2006
- Specification filed on 09/19/2006
- Claims filed on 09/19/2006
- Abstracts filed on 09/19/2006
- Drawings filed on 09/19/2006

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Additional claim fees of **\$210** as a non-small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

Total additional fees required for this application is **\$650** for a Large Entity:

- **\$130** Surcharge.
- The application search fee is insufficient. Applicant must submit **\$100** to complete the search fee. Note a surcharge will be required if submitted later than commencement of the national stage (37 CFR 1.492(h)) and the basic national fee was not paid before July 1, 2005.
- The application examination fee has not been paid. Applicant must submit **\$210** to complete the examination fee for a non-small entity. Note a surcharge will be required if submitted later than commencement of the national stage (37 CFR 1.492(h)) and the basic national fee was not paid before July 1, 2005.

Total additional claim fee(s) for this application is **\$210**

- **\$210** for 1 independent claims over 3.

page 1 of 2

McANDREWS, HELD & MALLOY

JUL 23 2008

DOCKETED

RECEIVED

JUL 23 2008

McANDREWS, HELD & MALLOY

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web.
<https://portal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html>

For more information about EFS-Web please call the USPTO Electronic Business Center at 1-866-217-9197 or visit our website at <http://www.uspto.gov/ebc>.

If you are not using EFS-Web to submit your reply, you must include a copy of this notice.

VALERIE D KINARD

Telephone: (703) 308-9140 EXT 182

PTO/SB/17 (07-07)
 Approved for use through 6/30/2010. OMB 0651-0032
 U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
 Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Effective on 09/30/2007
 Pursuant to the consolidated Appropriates Act, 2005 (H.R. 4818).

FEE TRANSMITTAL for FY 2008

| Complete if Known | |
|----------------------|--------------------|
| Application Number | 10/593,399 |
| Filing Date | September 27, 2007 |
| First Named Inventor | Roberto Pozzati |
| Examiner Name | Not yet assigned |
| Art Unit | Not yet assigned |
| Attorney Docket No. | 18545US00 |

☐ Applicant claims small entity status. See 37 CFR 1.27

| | | |
|-------------------------|------|--------|
| TOTAL AMOUNT OF PAYMENT | (\$) | 650.00 |
|-------------------------|------|--------|

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): _____

☒ Deposit Account Deposit Account Number: 13-0017 Deposit Account Name: McAndrews Held & Malloy

For the above-identified deposit account, the Director is hereby authorized to (check all that apply)

☒ Charge Fee(s) indicated below ☐ Charge Fee(s) indicated below, except for the filing fee

☒ Charge any additional fee(s) or underpayments of fees(s) ☒ Credit any overpayments under 37 CFR 1.16 and 1.17

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

FEE CALCULATION (All the fees below are due upon filing or may be subject to a surcharge.)

| 1. BASIC FILING, SEARCH, AND EXAMINATION FEES | | | | | | | |
|---|-------------|----------------------|-------------|----------------------|------------------|----------------------|---------------|
| Application Type | FILING FEES | | SEARCH FEES | | EXAMINATION FEES | | Fees Paid(\$) |
| | Fee (\$) | Small Entity Fee(\$) | Fee(\$) | Small Entity Fee(\$) | Fee(\$) | Small Entity Fee(\$) | |
| Utility | 310 | 155 | 510 | 255 | 210 | 105 | |
| Design | 210 | 105 | 100 | 50 | 130 | 65 | |
| Plant | 210 | 105 | 310 | 155 | 160 | 80 | |
| Reissue | 310 | 155 | 510 | 255 | 620 | 310 | |
| Provisional | 210 | 105 | 0 | 0 | 0 | 0 | |

| 2. EXCESS CLAIM FEES | | | Small Entity | |
|---|--------------|---------|---------------|---------------------------|
| Fee Description | Fee(\$) | | Fee(\$) | Fee(\$) |
| Each claim over 20 (including Reissues) | | | 50 | 25 |
| Each independent claim over 3 (including Reissues) | | | 210 | 105 |
| Multiple dependent claims | | | 370 | 185 |
| Total Claims | Extra Claims | Fee(\$) | Fee Paid (\$) | Multiple Dependent Claims |
| -20 or HP | x | = | | Fee Fee Paid (\$) |
| HP = highest number of total claims paid for, if greater than 20 | | | | |
| Indep. Claims | Extra Claims | Fee(\$) | Fee Paid (\$) | |
| -3 or HP | x | = | | |
| HP = highest number of independent claims paid for, if greater than 3 | | | | |

| 3. APPLICATION SIZE FEE | | | | |
|---|--------------|--|---------|--------------|
| If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s). | | | | |
| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof | Fee(\$) | Fee Paid(\$) |
| -100 | /50 | (round up to a whole number) | x | = |

| 4. OTHER FEE(S) | | Fee Paid(\$) |
|---|--|--------------|
| Non-English Specification, \$130 fee (no small entity discount) | | |
| Other (e.g., late filing surcharge): Additional claim fee (\$210); Surcharge (\$130); Search fee (\$100); Examination fee (\$210) | | 650.00 |

SUBMITTED BY

| | | | | | |
|-------------------|---------------------|-----------------------------------|-----------------|-----------|----------------|
| Signature | | Registration No. (Attorney/Agent) | 55870 | Telephone | (312) 775-8000 |
| Name (print/type) | Jonathan M. Rushman | Date | August 28, 2008 | | |

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



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Effective on 09/30/2007
Pursuant to the consolidated Appropriates Act, 2005 (H.R. 4818).

FEE TRANSMITTAL for FY 2008

Complete if Known

| | |
|----------------------|--------------------|
| Application Number | 10/593,399 |
| Filing Date | September 27, 2007 |
| First Named Inventor | Roberto Pozzati |
| Examiner Name | Not yet assigned |
| Art Unit | Not yet assigned |
| Attorney Docket No. | 18545US00 |

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 650.00

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): _____

☒ Deposit Account Deposit Account Number: 13-0017 Deposit Account Name: McAndrews Held & Malloy

For the above-identified deposit account, the Director is hereby authorized to (check all that apply)

☒ Charge Fee(s) indicated below ☐ Charge Fee(s) indicated below, except for the filing fee

☒ Charge any additional fee(s) or underpayments of fees(s) ☒ Credit any overpayments under 37 CFR 1.16 and 1.17

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

FEE CALCULATION (All the fees below are due upon filing or may be subject to a surcharge.)

1. BASIC FILING, SEARCH, AND EXAMINATION FEES

| Application Type | FILING FEES | | SEARCH FEES- | | EXAMINATION FEES | | Fees Paid(\$) |
|------------------|-------------|----------------------|--------------|----------------------|------------------|----------------------|---------------|
| | Fee (\$) | Small Entity Fee(\$) | Fee(\$) | Small Entity Fee(\$) | Fee(\$) | Small Entity Fee(\$) | |
| Utility | 310 | 155 | 510 | 255 | 210 | 105 | |
| Design | 210 | 105 | 100 | 50 | 130 | 65 | |
| Plant | 210 | 105 | 310 | 155 | 160 | 80 | |
| Reissue | 310 | 155 | 510 | 255 | 620 | 310 | |
| Provisional | 210 | 105 | 0 | 0 | 0 | 0 | |

2. EXCESS CLAIM FEES

| Fee Description | Small Entity | |
|--|--------------|---------|
| | Fee(\$) | Fee(\$) |
| Each claim over 20 (including Reissues) | 50 | 25 |
| Each independent claim over-3 (including Reissues) | 210 | 105 |
| Multiple dependent claims | 370 | 185 |

| | | | | |
|--------------|--------------|---------|---------------|---------------------------|
| Total Claims | Extra Claims | Fee(\$) | Fee Paid (\$) | Multiple Dependent Claims |
| -20 or HP | x | = | | Fee Fee Paid (\$) |

HP = highest number of total claims paid for, if greater than 20

| | | | |
|---------------|--------------|---------|---------------|
| Indep. Claims | Extra Claims | Fee(\$) | Fee Paid (\$) |
| -3 or HP | x | = | |

HP = highest number of independent claims paid for, if greater than 3

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

| | | | | |
|--------------|--------------|--|---------|--------------|
| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof | Fee(\$) | Fee Paid(\$) |
| -100 | /50 | (round up to a whole number) x | = | |

4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): Additional claim fee (\$210); Surcharge (\$130); Search fee (\$100); Examination fee (\$210)

650.00

SUBMITTED BY

| | | | | | |
|-------------------|---------------------|-----------------------------------|-----------------|-----------|----------------|
| Signature | | Registration No. (Attorney/Agent) | 55870 | Telephone | (312) 775-8000 |
| Name (print/type) | Jonathan M. Rushman | Date | August 28, 2008 | | |

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



UNITED STATES PATENT AND TRADEMARK OFFICE
(Attorney Docket No. 18545US00 (Formerly P4422-3001))

In the Application of:

Roberto Pozzati

Serial No. 10/593,399

Filed: September 27, 2007

For: METAL VALVE
STEM SEAL AND
SEALING SYSTEM

Examiner: Unassigned

Group Art Unit: Unassigned

Confirmation No. 2782

CERTIFICATE OF
TRANSMISSION

I hereby certify that this
correspondence is being
transmitted to the USPTO via
Express Mail,
No. EV 639814869 US on
August 28, 2008.

Jonathan M. Rushman
Registration No. 55,870

Customer No. 23,446

RESPONSE TO NOTIFICATION OF INSUFFICIENT FUNDS

Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Dear Sir:

This Response To Notification Of Insufficient Funds is in reply
to the Notification Of Insufficient Funds dated July 1, 2008. This
response is being timely filed within the two month period for reply
indicated on the notice.

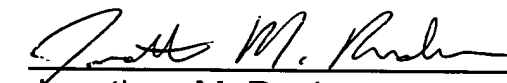
Attorney Docket No. 18545US00 (Formerly P4422-3001)

The notice indicated that a total of \$650 was due to pay for the following items: \$210 for additional claim fees, \$130 for late submission of the declaration, \$100 for the application search fee, and \$210 for the examination fee.

Please charge \$650 to Deposit Account No. 13-0017 in the name of McAndrews, Held & Malloy, Ltd. to pay for the foregoing.

Please also charge any other fees required at this time, and credit any overpayment, to Deposit Account No. 13-0017 in the name of McAndrews, Held & Malloy, Ltd.

Respectfully submitted,


Jonathan M. Rushman
Registration No. 55,870

August 28, 2008

Date

Robert W. Fieseler
Registration No. 31,826
MCANDREWS, HELD & MALLOY, LTD.
500 West Madison Street, 34th Floor
Chicago, Illinois 60661

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